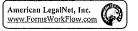
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UNDER 37 CFR 3.73(b)				
Applicant/Patent Owner: UBS FINANCIAL SERVICES INC.				
Application No./Patent No.: 09/688392 Filed/Issue Date: October 16,	2000			
Entitled: SYSTEM AND METHOD FOR TRADING TAXABLE AND NON-TAXABLE SEC	URITIES			
UBS FINANCIAL SERVICES INC. , a Corporation				
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)				
states that it is:				
1.  the assignee of the entire right, title, and interest in;				
2. an assignee of less than the entire right, title and interest in				
(The extent (by percentage) of its ownership interest is%); or				
3.  the assignee of an undivided interest in the entirety of (a complete assignment	from one of the joint inventors was made)			
in the patent application/patent identified above by virtue of either:				
A. An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel, Frame, or for which a copy thereof is attached.				
OR  B. A chain of title from the inventor(s), of the patent application/patent identified all	bove, to the current assignee as follows:			
1. From: INVENTOR(S) To: PAINEWEBBER IN				
The document was recorded in the United States Patent and Trade				
Reel <u>011255</u> , Frame <u>0548</u> , or for which a copy thereof is attached	I.			
2. From: INVENTOR(S) To: PAINEWEBBER IN	NCORPORATED			
The document was recorded in the United States Patent and Trade	mark Office at			
Reel <u>013271</u> , Frame <u>0809</u> , or for which a copy thereof is attached	l.			
3. From: PAINEWEBBER INCORPORATED To: UBS PAINEWEBB	BER INC.			
The document was recorded in the United States Patent and Trade	mark Office at			
Reel <u>013272</u> , Frame <u>0585</u> , or for which a copy thereof is attached.				
Additional documents in the chain of title are listed on a supplemental sheet(s).				
As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title for concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.	rom the original owner to the assignee was,			
[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) m accordance with 37 CFR Part 3, to record the assignment in the records of the USP				
The undersigned (whose title is supplied below) is authorized to act on behalf of the assignment of th	gnee.			
/Jack S. Barufka/ November 19, 2012				
Signature	Date			
Jack S. Barufka Printed or Typed Name	Appointed Practioner Title			
Finited of Typed Name				

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



Applicant	Patent Owner:	UBS FINANCIAL SERVICES INC.	
Applicant/	/Patent No.: <u>09</u>	9/688392	
Entitled: 3	SYSTEM AND	METHOD FOR TRADING TAXABLE AND NO	<u>ON-TAXABLE</u>
	<u>SECURITIES</u>		, , , , , , , , , , , , , , , , , , , ,
Name of A	Assignee: <u>UBS</u>	S FINANCIAL SERVICES INC.	

## SUPPLEMENTAL SHEET TO STATEMENT UNDER 37 CFR 3.73 (b) Additional Documents in the Chain of Title

The following is a continuation of the chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

4. From: <u>UBS PAINWEBBER, INC.</u>	To: <u>UBS FINANCIAL SERVICES INC.</u>
The document was recorded in	the Patent and Trademark Office at
Reel <u>014467</u> , Frame <u>0783</u>	, or for which a copy thereof is attached.
5. From:	To:
The document was recorded in	the Patent and Trademark Office at
Reel, Frame	, or for which a copy thereof is attached.
6. From:	To:
	the Patent and Trademark Office at
Reel, Frame	, or for which a copy thereof is attached.
7. From:	To:
	the Patent and Trademark Office at
Reel, Frame	, or for which a copy thereof is attached.
	To:
	the Patent and Trademark Office at
Reel, Frame	, or for which a copy thereof is attached.
9. From:	To:
	the Patent and Trademark Office at
Reel, Frame	, or for which a copy thereof is attached.
10. From:	
	the Patent and Trademark Office at
Reel , Frame	, or for which a copy thereof is attached.
11. From:	
	the Patent and Trademark Office at
	, or for which a copy thereof is attached.
12. From:	
	the Detent and Trademark Office at